

3.3 Manage Operations Issues

Introduction

This process defines the actions to be undertaken by the management of the Applications Management Group to ensure that issues not directly related to a user request are addressed efficiently and resolved in a timely manner (an example of such an issue might be that an e-mail is received from a group of users complaining about the service being provided by the Applications Management group). This process will also serve to address all issues that arise within the Application Management Process Architecture. This process does not address how issues resulting from specific user requests are handled. Specific user request issues are handled by the 1.1.7 Manage Request Issues Process.

Note: Most references to Operations in this section refer to the business operations of the Applications Management Group.

Objectives: The objectives of the Manage Operations Issues Process are to:

- ☐ Facilitate the identification and timely resolution of operational issues
- ☐ Facilitate the proper escalation process for addressing operational issues
- ☐ Facilitate the communication and closure of operational issues to users and stakeholders
- ☐ Ensure all parties needed to resolve an issue are informed and, if applicable, are represented as part of a governing body
- ☐ Ensure that all operational issues are resolved in a timely manner
- ☐ Assist in effectively tracking and monitoring operational issues
- ☐ Assist in effectively capturing metrics for defining and analyzing operational issues that serve as basis for improvements

The Manage Operations Issues Process defines the steps for the identification, tracking, analysis, management, resolution, communication and reporting of operational issues. It can be entered at any time during Application Management.

Definition: An operational issue is one that might adversely affect an application's budget, quality, schedule, performance, system service or system design, and is beyond the authority of an Application Management team member to resolve. Operational issues are generally addressed by management and follow a defined resolution process that may involve a Governance Body. Examples of operational issues that would follow this process include issues not covered or answered by standard operational guidelines, and/or those that involve multiple business or functional areas within SFA.

Benefits:

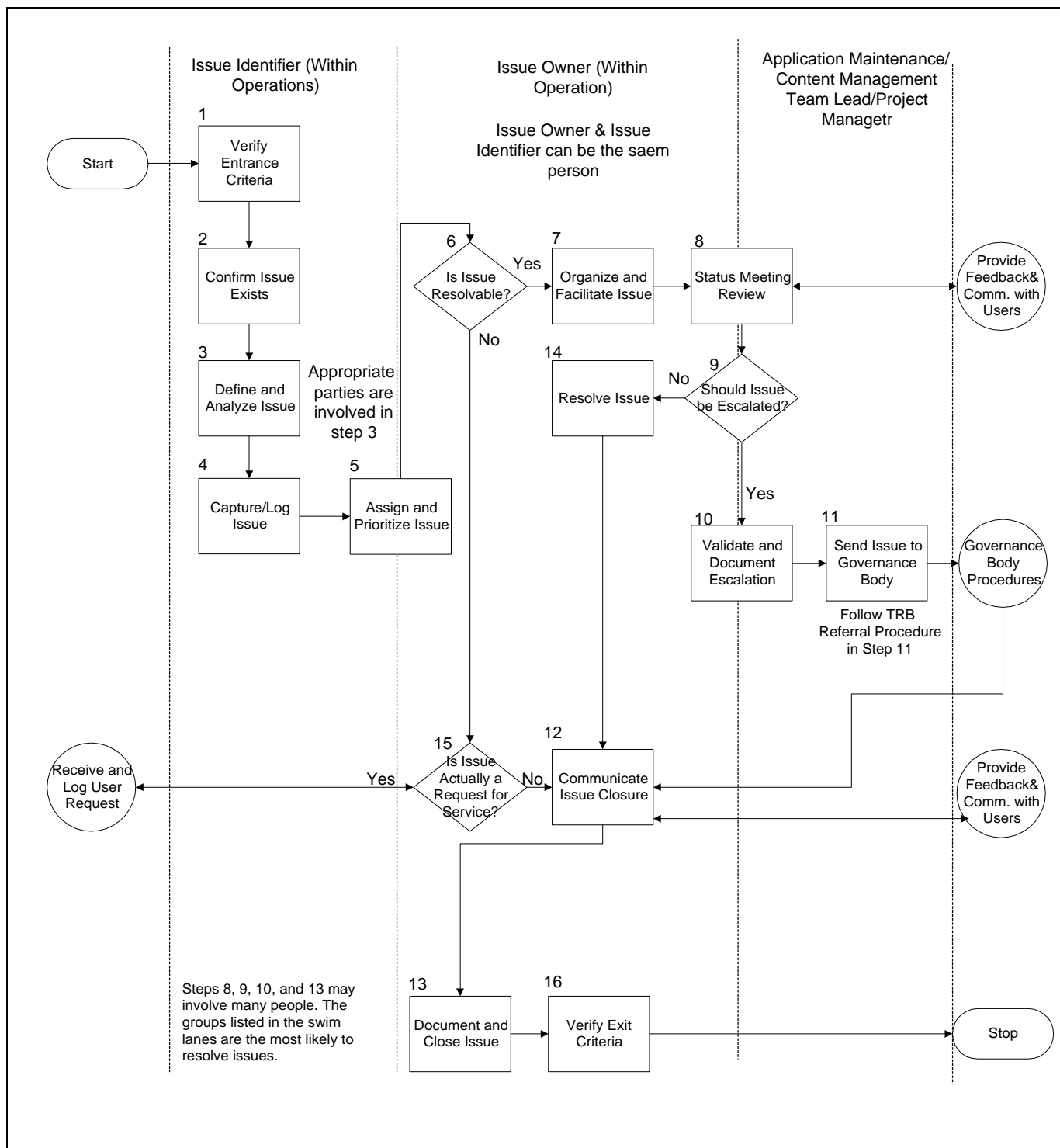
The main benefits of the Manage Operations Issues Process are:

- ☐ Ensures timely identification and response to operational issues
- ☐ Ensures participation of all Stakeholders in an issue's resolution
- ☐ Ensures formal review and resolution process for operational issues by the TRB
- ☐ Ensures the communication and documentation of the closure of operational issue
- ☐ Allows for accurate and necessary metrics collection

** Tip: While reading through the following section please be aware that Inputs, Entrance Criteria, Outputs and Exit Criteria can either be required or not required. This level of detail will be included within the documented steps throughout the process.*

Process Owner:	<input type="checkbox"/> Application Manager
Supplier(s):	<input type="checkbox"/> Application Management Team Member, User (Requester), anyone who has an operational issue
Customer(s):	<input type="checkbox"/> Application Management Team, User (Requester), anyone that identifies an operational issue
*Input(s):	<input type="checkbox"/> An operational issue is identified in a weekly operations status report to management and is logged in the Operational Issues Management Tracking Tool. <input type="checkbox"/> An issue arises regarding Operations planning and management activities and is logged in the Operational Issues Management Tracking Tool.
*Entrance Criteria:	<input type="checkbox"/> An issue (see definition above) has been identified upon review of status reports etc. that will require review and resolution by Application Management and/or an established governing body.
*Output(s):	<input type="checkbox"/> The Operational Issues Management Tracking Tool is updated as to the status of the operational issue. An operational issues status must be closed in the tool in order to exit the process. <input type="checkbox"/> Action items – It is possible that action items result after an operational issue is discussed by stakeholders and/or management. The Operational Issues Management Tracking Tool should be updated.
*Exit Criteria:	<input type="checkbox"/> An issue has been closed after being resolved by the Application Management Team. <input type="checkbox"/> An issue has been referred to an established governing body, resolved and closed.
Related Processes:	<input type="checkbox"/> 1.1.7 Manage Request Issues
Related Documentation (Job Aids/Procedures)	<input type="checkbox"/> Operations Governance Body Referral Procedure, Capture Operational Issues Job Aid, Define/ Analyze Operational Issues Job Aid, Assign/ Prioritize Operational Issues Job Aid, Comm. Operational Issues Closure Job Aid, Close Operational Issues Job Aid
Key Tools	<input type="checkbox"/> Operational Issues Management Tracking Tool

Process Workflow Diagram



Process Workflow Description

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
Start				
1.	Verify Entrance Criteria - In order to enter the Manage Operations Issues Process, someone must identify an issue at the following: <ul style="list-style-type: none"> <input type="checkbox"/> a Status Meeting, <input type="checkbox"/> upon review of a Status Report or <input type="checkbox"/> at any time during a Request/Release's lifecycle 	Issue Identifier	Operational Issues Management Tracking Tool	N/A
2.	Confirm Issue Exists - The confirmation of an issue should take place after Entrance Criteria are verified. Confirmation is accomplished after research and collaboration with appropriate parties is complete.	Issue Identifier	Operational Issues Management Tracking Tool	N/A

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
3.	<p>Define and Analyze Issue - Once an Issue is captured, it will be further defined and analyzed by the Issue Identifier. At this point, the Issue Identifier will update the Description field with any new information and determine what type of issue exists. The Issue Identifier will also create a brief Action Plan (if required by a Manager) that should determine who the Issue Owner and stakeholders for the Issue will be. The Application Manager or a Application Management Team Lead may start to get involved at this point if the Issue Identifier requests assistance. (See Define/ Analyze Operational Issues Job Aid)</p> <p>The following fields should be captured/updated at this point of the process:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Issue Detailed Description (High Level Description of Issue) <input type="checkbox"/> Proposed Action Plan (Initial Plan of Action including action owners, action completion dates, action status) <input type="checkbox"/> Comments (General Comments) 	Issue Identifier	Operational Issues Management Tracking Tool, Define/ Analyze Operational Issues Job Aid	N/A

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
4.	<p>Capture/Log Issue - Once an issue is identified it will be captured in an Operational Issues Management Tracking Tool - (Excel Spreadsheet) by the Issue Identifier - (see Capture Operational Issues Job Aid). The spreadsheet should be kept in a shared directory for version control. The following fields should be captured at this point of the process.</p> <p>These fields should be completed during this step:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Issue Identifier - (Name) <input type="checkbox"/> Issue Identifier # - (Contact Number/Location) <input type="checkbox"/> Issue ID # - (All Issues should be numbered for tracking purposes) <input type="checkbox"/> Possible Impact - (This field identifies the possible impact of the Issue if not addressed.) <input type="checkbox"/> Issue Detailed Description - (High level description of Issue) <input type="checkbox"/> Date Issue Logged - (Date the Issue is entered in the tool) <input type="checkbox"/> Status - (Status of Issue) Comments - (General Comments) 	Issue Identifier	Operational Issues Management Tracking Tool, Capture Operational Issues Job Aid	Operational Issues Management Tracking Tool is updated

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
5.	<p>Assign & Prioritize Issue - The Issue Identifier will assign the Issue to an Issue Owner, primarily based on its type. Both parties will then review and validate the Issue as well as determine its impact/urgency. The Issue Identifier and Issue Owner will complete a prioritization field and a Severity field within the Operational Issues Management Tracking Tool - (Excel Spreadsheet). This step is performed after the Issue Identifier and Issue Owner have met informally with both of their supervisors. (See Assign/Prioritize Operational Issues Job Aid)</p> <p>Accountability and ownership of an <u>issue</u> will be clearly defined to ensure timely resolution. An Issue Owner is responsible for owning the issue from assignment through to resolution. At the time an Issue Owner is assigned, a resolve by date and list of action items are usually determined. The issue should be assigned to an Owner and prioritized depending on its nature and initial proposed action plan for resolution.</p> <p>These fields should be completed during this step:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Issue Owner (Name) <input type="checkbox"/> Issue Owner (Contact #/Location) <input type="checkbox"/> Release Name/# - (Name and # of release Issue arose from) <input type="checkbox"/> Resolution Deadline Date (Date issue needs to be resolved by) <input type="checkbox"/> Priority (Priority Levels - High/Medium/Low) <input type="checkbox"/> Action Plan (Initial + Detailed Action Plans - including action owners & action completion dates) 	Issue Identifier and Issue Owner (Usually a Application Management Team Lead or the SFA Application Manager)	Operational Issues Management Tracking Tool, Assign/Prioritize Operational Issues Job Aid	Operational Issues Management Tracking Tool is updated

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
6.	<p>Is Issue Resolvable?</p> <p>If (Y) For each <u>issue</u>, the owner will determine whether the issue must be addressed and resolved within the scope of the Operations Planning and Management function or if it needs to be referred to the Governance Body. If the answer is yes, the Issue Owner will continue with Step 7.</p> <p>If (N) For each <u>issue</u>, the owner will determine whether the issue is already resolved, is a scope change rather than an issue, or should be closed without resolution because it is beyond the scope of the Operations Planning and Management function. If either of these is the case, the Issue Owner will go to step 15.</p>	Issue Owner	Operational Issues Management Tracking Tool	N/A
7.	Organize and Facilitate Issue - The <u>Issue</u> Owner should collect, organize, analyze and review all pertinent documentation in order to effectively facilitate the resolution of an issue and begin to work to resolve it. In order to effectively begin to resolve the issue, the owner will have access to all relevant documentation and will notify all appropriate stakeholders.	Issue Owner	Operational Issues Management Tracking Tool	N/A

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
8.	<p>Status Meeting Review - Key Management Operations Issues are reported in routine or event driven Status Meetings. Any pertinent information regarding a specific Issue will be communicated to the Issue Owner. Status meetings will take place once a week.</p> <p>The <u>first</u> time through the process, Step 8 is referring to internal Operations Issue Status Meetings before referral to the Governance Body (Attendees might include Issue Owners, Application Management Team Leads, etc.)</p> <p><i>After an issue is escalated it will continue being discussed in status meetings.</i></p>	Issue Owner, Application Management Team Lead & Manager,	Operational Issues Management Tracking Tool	Provide Feedback to Issue Identifiers and Users who initiated the request that the issue relates to
9.	<p>Should Issue be Escalated?</p> <p>If (Y) The Issue Owner will determine whether an issue requires escalation, based on its priority, the length of time it has been open, and the judgment of the stakeholders involved. If it is determined that the issue needs to be escalated go to Step 10 and then exit to the Escalate Issues Process.</p> <p>If (N) If no escalation is needed to resolve an issue go to Step 14.</p>	Issue Owner, Application Management Team Lead & Manager	Operational Issues Management Tracking Tool	N/A
10.	<p>Validate and Document Escalation - The <u>Issue</u> Owner documents in the "Status" field and "Comments" field the fact that the issue needs to be escalated in order to get effectively resolved. At this point the Application Manager has decided that the issue should be escalated to a Governance Body .</p> <p><i>During the Escalation Process the Issue should be resolved.</i></p>	Issue Owner, Application Management Team Lead & Manager	Operational Issues Management Tracking Tool	N/A

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
11.	Send Issue to Governance Body - The Issue Owner identifies the necessary stakeholders that a TRB referral has taken place. The process will not be re-entered at step 12 until the Governance Body resolves the issue or closes the issue without resolution (using the Governance Body Referral Procedure)	Issue Owner, Application Management Team Lead & Manager	Operational Issues Management Tracking Tool	
12.	Communicate Issue Closure - The Issue Owner will be responsible for communicating the resolution, or closure without resolution, of an issue to all stakeholders. (See Communicate Operational Issues Closure Job Aid)	Issue Owner	Operational Issues Management Tracking Tool, Comm. Operational Issues Closure Job Aid	Provide Feedback to Issue Identifiers and Users who initiated the request that the issue relates to
13.	Document and Close Issue - The <u>Issue</u> Owner will document the closure of an issue by completing, among others, the "Date Closed" field. (See Close Operational Issues Job Aid). Exit Process. The following fields should be captured/updated at this point in the process. <input type="checkbox"/> Resolution Description - (Detailed description of the resolution) <input type="checkbox"/> Status - (Status of Issue) <input type="checkbox"/> Date Closed - (Date Issue is closed) <input type="checkbox"/> Comments - (General Comments)	Issue Owner	Operational Issues Management Tracking Tool, Close Operational Issues Job Aid	Operational Issues Management Tracking Tool is updated
14.	Resolve Issue - The Issue Owner will continue to resolve the issue having access to all relevant documentation and stakeholders. The Issue Owner will not move beyond this step unless the issue is resolved.	Issue Owner	Operational Issues Management Tracking Tool	N/A

Step #	Step Description	Responsibility	Tools	Deliverables/ Outcomes
15.	<p>Is Issue Actually a Request for Service - The Issue Owner and all stakeholders that need to be involved in the resolution of the escalated issue will decide whether or not to exit the Manage Operations Issues Process and enter the Receive and Log User Request Process. (Refer to Introduction for definition of Issue.)</p> <p>If (Y) - If issue is determined to be or will lead to a new request for service then exit the Manage Operations Issues Process and go to the Receive and Log User Request Process.</p> <p>If (N) - If it is determined that a new request for service is not warranted then go to Step 12.</p>	Issue Owner	Operational Issues Management Tracking Tool	N/A
16.	Verify Exit Criteria - In order to exit the Manage Operations Issues Process, the Issue Owner must verify that all exit criteria have been met.	Issue Owner	Operational Issues Management Tracking Tool	N/A
Stop				

Revision Log

This log should be updated after each new version as a means of tracking the changes that have been made to the document. Relevant information includes: date of revision, name of person making the revision, and a short description of the changes.

Version	Revised By	Description of Changes
1.1	Brett Polloway	Changes made based on feedback from Mike Davis and Jeff Ross.